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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Shao Xiang LU, et al.

SERIAL NO: 10/622,689

GAU: 1712

FILED: July 21, 2003

EXAMINER: Kuo Liang Ping

FOR: SELF-EMULSIFYING COPOLYMER

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

## REFERENCES

The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.

A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## RELATED CASES

Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.

A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## CERTIFICATION

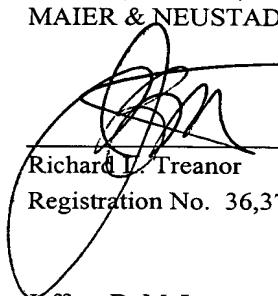
Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

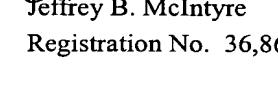
No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

## DEPOSIT ACCOUNT

Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 237687US0	SERIAL NO. 10/622,689		
 LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Shao Xiang LU, et al.			
				FILING DATE July 21, 2003	GROUP 1712		
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	2,823,195	02/11/58	Shorr, et al.			
	AB	3,723,566	03/27/73	Thompson, et al.			
	AC	4,322,400	03/30/82	E. Yuhas			
	AD	5,262,505	11/16/93	Nakashima, et al.			
	AE	5,407,986	04/18/95	Furukawa, et al.			
	AF	5,412,004	05/02/95	Tachibana, et al.			
	AG	5,473,041	12/05/95	M. Itoh			
	AH	5,567,428	10/22/96	K. Hughes			
	AI	5,725,882	03/10/98	Kuman, et al.			
	AJ	5,837,223	11/17/98	Barone, et al.			
	AK	5,874,069	02/23/99	Mendolia, et al.			
	AL	5,919,441	07/06/99	Mendolia, et al.			
	AM	5,981,680	11/09/99	Petroff, et al.			
	AN	5,985,297	11/16/99	Mellul, et al.			
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES	NO	
	AO	GB 134 8783	03/20/74	London	X		
	AP	EP 0 377 447 A2	07/11/90	EPO	X		
	AQ	EP 0 693 517 A1	01/24/96	EPO	X		
	AR	WO 97/36572	10/09/97	WIPO	X		
	AS	WO 97/36573	10/09/97	WIPO	X		
	AT	FR 2 765 800	01/15/99	France (English Abstract Provided)		X	
	AU	WO 99/47111	01/15/99	WIPO		X	
	AV	WO 99/06473	02/11/99	WIPO	X		
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	Dow Corning® 2-8178 Gellant, Ref. No. 27-1055-01, August 2002, 35 pp.					
	AX	Dow Corning® 2-8178 Gellant, Product Information Personal Care, 6 pp.					
	AY	Shin-Etsu Silicones for Personal Care; Product Brochure, KSP-100·101·102·103·104·105 "Hybrid Silicone Powders for Personal Care"					
	AZ	Shin-Etsu Silicones for Personal Care; Product Brochure, KSP-200·300 "Hybrid Silicone Powders containing Fluoroalkyl or Phenyl group for Personal Care"			<input type="checkbox"/> Additional References sheet(s) attached		
Examiner				Date Considered			
<small>*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

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		FILING DATE July 21, 2003		GROUP 1712	
		<b>U.S. PATENT DOCUMENTS</b>			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS SUB CLASS
	AA	6,045,782	04/04/00	Krog, et al.	
	AB	6,051,216	04/18/00	Barr, et al.	
	AC	6,060,072	05/09/00	Konik, et al.	
	AD	6,103,250	08/15/00	Brieva, et al.	
	AE	6,353,076 B1	03/05/02	Barr, et al.	
	AF	6,362,287	03/26/02	Chorvath, et al.	
	AG	6,362,288	03/26/02	Brewer, et al.	
	AH	6,423,324	07/23/02	Murphy, et al.	
	AI	6,426,062	07/30/02	Chopra, et al.	
	AJ	6,451,295 B1	09/17/02	Cai, et al.	
	AK	6,541,017	04/01/03	Lemann, et al.	
	AL	6,503,632 B1	01/07/03	Hayashi, et al.	
	AM	6,524,598	02/25/03	Sunkel, et al.	
	AN	6,569,955 B1	05/27/03	Brewer, et al.	
<b>FOREIGN PATENT DOCUMENTS</b>					
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES      NO
	AO	EP 0 923 928	06/23/99	EPO (English Abstract Provided)	
	AP	EP 1 048 686	11/02/00	EPO	X
	AQ	EP 1 068 856	01/17/01	EPO (English Abstract Provided)	
	AR	WO 01/09239 A1	02/08/01	WIPO	X
	AS	WO 01/97758 A2	12/27/01	WIPO	X
	AT	WO 02/17870 A2	03/07/02	WIPO	X
	AU	WO 02/17871 A2	03/07/02	WIPO	X
	AV	WO 02/089760 A1	11/14/02	WIPO	X
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>					
	AW	English Language Derwent Abstract of EP 0 923 928, June 23, 1999			
	AX	English Language Derwent Abstract of EP 1 068 856, January 17, 2001			
	AY	English Language Derwent Abstract of FR 2 765 800, January 15, 1999			
	AZ				<input type="checkbox"/> Additional References sheet(s) attached
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS SUB CLASS FILING DATE IF APPROPRIATE
	AA	2002/0048557 A1	04/25/02	Cai, et al.	
	AB	2003/0068348	04/10/03	Ferrari, et al.	
	AC	2003/0072730	04/17/03	Tournilhac	
	AD	2003/0082129 A1	05/01/03	Buckingham, et al.	
	AE	2003/0170188	09/11/03	Ferrari, et al.	
	AF	2003/0232030 A1	12/18/03	Lu, et al.	
	AG	2003/0235548 A1	12/25/03	Lu, et al.	
	AH	2003/0235552	12/25/03	Yu, W.	
	AI	2003/0235553 A1	12/25/03	Hansen, et al.	
	AJ	2004/0001799 A1	01/01/04	Lu, et al.	
	AK	2004/0115153 A1	06/17/04	W. Yu	
	AL	2004/0115154 A1	06/17/04	W. Yu	
	AM	2004/0120912 A1	06/24/04	W. Yu	
	AN	2004/0126336 A1	07/01/04	Hansen, et al.	
<b>FOREIGN PATENT DOCUMENTS</b>					
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES      NO
	AO	WO 03/013447 A2	02/20/03	WIPO	X
	AP	WO 03/105788 A2	06/02/03	WIPO	X
	AQ	EP 1 266 647	12/18/02	EPO (English Abstract Provided)	X
	AR	EP 0 594 285 A2	04/27/94	EPO	X
	AS	WO 04/054523	07/01/04	WIPO	X
	AT	WO 04/054524	07/01/04	WIPO	X
	AU	WO 0197758 A2	12/27/01	WIPO	X
	AV	EP 1 266 648	12/18/02	EPO (English Abstract Provided)	X
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>					
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	AA	2004/0170586 A1	09/02/04	Ferrari, et al.			
	AB	2004/0180032 A1	09/16/04	Manelski, et al.			
	AC	2005/0020769 A1	01/27/05	Lu, et al.			
	AD	2005/0009989 A1	01/13/05	Liew, et al.			
	AE	2005/0089492 A1	04/28/05	Lu, et al.			
	AF	6,916,464 B2	07/12/05	Hansenne, et al.			
	AG	2005/0158260 A1	07/21/05	Ferrari, et al.			
	AH	5,969,172	10/19/99	Susan A. Nye			
	AI	2002/0051758	05/02/02	Cai, et al.			
	AJ	4,822,852	04/18/89	Wittmann, et al.			
	AK	2,823,218	02/11/58	Speier, et al.			
	AL	2003/0228333	12/11/03	Fecht, et al.			
	AM	2004/0197285	10/07/04	Heidi Marie Van Dort			
	AN	2004/0223936 A1	11/11/04	Fecht, et al.			
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	AA	2002/0028223 A1	03-07-02	Michael Lee Vatter, et al.			
	AB	6,376,078	04/23/02	Yoshinori Inokuchi			
	AC	6,177,091	01/23/01	I. Bara, et al.			
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